<u>**STRATEGIC PLAN SUMMARY**</u>

<u>**MISSION**</u>

The mission of the Chicago Historical Society is three-fold:
- To expand audiences for history;
- To be a leader in history education;
- To be a premier center for research.

<u>**VISION**</u>

The Chicago Historical Society Provides Leadership, Education, Advocacy and Resources to Collect,
Preserve, Interpret, and Present
Materials Related to the History of Chicago and America

Goals

Support and Advance the Teaching and Learning of History - The Chicago Historical Society expands its commitment to become a key educational resource for the city and the metropolitan area

Make the Resources of the Chicago Historical Society Electronically Available - The Chicago Historical Society expands its obligation to present Chicago's history to the widest possible audience by utilizing technological advancements to make resources, expertise, and collections electronically available

Establish the Chicago Historical Society's Public Identity as the Indispensable Resource for Understanding the History of Metropolitan Chicago - The Chicago Historical Society expands its advanced public knowledge of its traditional role as a civic and cultural resource for the metropolitan region

Provide Exemplary Service - The Chicago Historical Society expands its dedication to pLOvide the highest quality experience for members and visitors by applying exacting professional standards in the continuous improvement of service

Extend Commitment to Diversity - The Chicago Historical Society values the <u>full diversity</u> of the city's heritage and reflects, through its programs, staff, volunteers, communications, and partnerships its relevancy to all Chicagoans and Americans

<u>**ALIGNMENT OF GOALS AND KEY STRATEGIES**</u>

GOAL: Support and Advance the Teaching and Learning of History
 KEY STRATEGIES:
- Increase the accessibility of the educational resources of the Chicago Historical Societv to teachers, students and parents
- Systematically integrate and evaluate all programmatic activities of the Chicago Historical Society
- Identify and develop for special exhibitions a core group of schools and public audiences

GOAL: Make the Resources of the Chicago Historical Society Electronically Available
 KEY STRATEGIES:
- Complete a five-year rolling technology plan including equipment, staffing, an institutional projects and calendar
- Make collection and library databases available to staff, in-house users, and Internet users
- Continually evaluate and improve the Chicago Historical Society web site as an educational and marketing tool

GOAL: Establish the Chicago Historical Society's Public Identity
    KEY STRATEGIES:
- Position the Chicago Historical Society as an important voice for the teaching of history
- Conduct continuous market research and create an integrated, long-term marketing plan
- Identify and implement opportunities to leverage Chicago Historical Society visibility through partnerships with institutions, organizations, and businesses

GOAL: Provide Exemplary Service
    KEY STRATEGIES:
- Create an environment within the Chicago Historical Society that maximizes the ability of staff to best serve its constituents
- Establish professional management practices and rigorous standards of performance throughout the Chicago Historical Society
- Improve performance appraisal system to reflect staff training program and performance for improved customer service - internally and externally

GOAL: Extend Commitment to Diversity
    KEY STRATEGIES:
- Continually attract audiences that reflect Cp.1cago's changing demography
- Undertake partnerships with individuals, such as teachers, and with museums, schools, libraries, cultural institutions, businesses, community groups and organizations that reflect the diversity of Chicago and the metropolitan region
- Document and collect materials that tell the stories of Chicago's diverse residents

PROGRESS TOWARDS GOALS

To ensure that CHS creates a useful and useable history and provides programs, knowledge, and services that are of value to a 21st century urban community, President Bunch is actively repositioning the institution as an important educational resource for the city; renovating its main facility to make it more welcoming and efficient; embarking on a rigorous, changing exhibition program in tandem with a major reinstallation of permanent exhibitions; and focusing on new technology and long-term Web strategies to fulfill CHS's core activities - collect and preserve, interpret and present - that underpin its mission and strategic goals.

The tasks and projects inspired by the institution's mission and goals are the activities that make history exciting and accessible to all the people of Chicago. In addition to its long-term exhibitions, CHS offers special exhibitions and programs that meet high standards for historical significance and design excellence, and appeal to the widest possible audience. The Chicago Historical Society is devoted to preserving and telling the stories of Chicago and its people while deepening the understanding of contemporary issues whose historical context is embodied in its collections.

Narrative

1. Project Design

Chicago Historical Society (CHS) proposes to complete retrospective conversion of cataloging for its library holdings of monographs and serials from shelf list and main-entry catalog cards to electronic records that will be available to staff and to the public via an online public access catalog (PAC). The library collection has functioned for many years as the heart of CHS's research resources and provided cataloging data central to management of all CHS's entire collections. Completion of the conversion to electronic records for library holdings will achieve four goals. First, it will assist staff and the public in researching relationships among museum artifacts and library documentation more effectively. Second, it will allow staff to manage the library holdings more efficiently. Third, it will make a superb online catalog of publications related to the history of the Chicago metropolitan area available on the Internet at CHS's Web site. Fourth, it will share copies of these online records with other repositories through the bibliographic utility known as OCLC, the Online Computer Library Center based in Dublin, Ohio. Through this conversion project, new online records will be created to describe the approximately 83 percent of the library holdings now described only on cards, including approximately 25,000 monographs and serials that no other repository has cataloged into WorldCat, the shared database of DCLC.

The library is one of the seven areas in which CHS's collection is managed: 1) library; 2) archives and manuscripts; 3) prints and photographs, including film and video; 4) architecture, primarily drawings and blueprints; 5) painting and sculpture; 6) costume; and 7) decorative and industrial arts. All seven share a common collecting scope relating to the Chicago metropolitan area (including Chicago and six surrounding counties) and to American history prior to 1871. Collection areas one through four are served to the public in CHS's Research Center, where the library holdings are more readily available and in greater demand than the other three.

The library holdings are composed of CHS's published printed acquisitions, and they allow CHS's Research Center to fulfill a range of traditional library roles, from making books available for quick fact-checking to giving researchers access to primary resources that are the *published artifacts* of life in the Chicago area. The library's published material relates closely to the other six collection areas. For example, a scholar or CHS curator researching products of Chicago-area manufacturers held as artifacts in the decorative and industrial arts section may consult in the library the manufacturers' annual reports and product catalogs depicting their product lines. A researcher's understanding of a building's blueprints found in the architecture area of the CHS collection may be enhanced by consulting the maps, atlases, directories, biographies of the architect, and histories of the client company found in the library holdings.

Consequently, staff and the public rely on the library materials to provide context and meaning for other artifacts and use the library's catalog records as the central source when researching accurate personal and corporate names, place names, dates, titles, product names, standard event names, etc. relating to each of CHS's accessioned collection items. As CHS staff work toward computerizing records for the other six areas of the CHS collection, staff throughout the Historical Society hope to draw upon the treasure trove of standardized data about Chicago history that resides in the library's shelf list and main-entry catalog cards. Complete library cataloging in an online catalog will enable staff to search and analyze the library records more efficiently (searching on keywords, for example) and allow them to take advantage of the SEE and SEE ALSO references between subject headings provided by Library of Congress authority records.

Retrospective conversion of the library cataloging into electronic records has not been an easy project to fund or to complete. In the 1980s, when many public and university libraries received grants for their conversion projects, CHS was not ready and didn't fit the criteria for many grants because of its privately endowed, non-governmental status, and because CHS's library holdings do not circulate outside of the Research Center (except when items are loaned through CHS's Registrar by the usual methods for loaning an exhibition artifact).

CHS is now ready and determined to complete retrospective conversion of its library catalog records. CHS staff have acquired expertise in computer cataloging of library materials according to national standards: US. Machine Readable Cataloging (MARC) bibliographic and authorities formats; Anglo-American Cataloguing Rules, Second Edition Revised (AACR2R); Library of Congress Name Authorities (LCNA); and Library of Congress Subject Headings (LCSH). Since 1989, CHS catalogers have been making records in DCLC and purchasing cards printed from these records to maintain the library's card catalog and shelflist When CHS purchased a Horizon Integrated Library System (Horizon ILS) in 1999, CHS was able to populate this new software by loading approximately 11,260 copies of CHS records contributed to OCLC since 1989.

Additionally, CHS's regular cataloging staff continues to make records for newly acquired materials. The Horizon ILS now contains records for approximately 12,800 titles, which represent roughly 17 percent of the library's monographs and serial titles. These electronic records are available to the public in CHS's online catalog named ARCHIE (available in CHS's Research Center and on the Internet through CHS's WebPAC) and in OCLC's WorldCat.

Over two years of consultations and planning by CHS staff has resulted in an acceptable vendor bid from Backstage Library Works collaborating with OCLC to complete conversion of the library cataloging. The vendor will work from the shelf list, which contains one record per bibliographic entity (monograph or serial title) and convert additional data from the main-entry cards in the card catalog. The retrospective conversion schedule is divided into five phases, each with a well-defined objective as a clear milestone marking completion, italicized below.

During the **Initiation Phase** (three months), CHS will purchase a more powerful workstation with printer for use by the Project Director, and the project team will finalize the conversion profile with the vendor. CBS project staff will scan the shelf list cards and main-entry cards from the card catalog using a scanner provided by the vendor and *send all of the scans needed for conversion to the vendor.*

During the **Vendor Conversion Phase** (ten months), the vendor will convert 63.734 records from shelf list cards plus data from related main-entry cards into electronic records by 1) matching a record in OCLC for the same publication, copying it, and modifying it to contain additional information from CHS's cards; or 2) if there is no match in OCLC. copying the CHS data from the cards into a new electronic record compliant with national standards (MARC. AACR2R, LCSH. LCNA). At the end of this phase. all of the newly created electronic records will be processed by OCLC's MARS service to match against files of LCNA and LCSH headings and capture for CHS any authority records that match headings in CHS's electronic records. *Finally, all of the processed electronic records will be sent to CHS.*

During the next phase, **Quality Control** (three months), the project team will examine the converted records for anomalies. The project team is composed of the Project Director, two part-time Cataloging Assistants, and two members of CHS's regular cataloging staff: the Chief Cataloger and the Technical Services Librarian. The records will be loaded to utility software in order to identify any MARC format problems and to generate reports that can be checked for discrepancies field by field. After approval of quality, *the Chief Cataloger will load the authority records and the new electronic catalog records to the Horizon ILS* and original cataloging (where CHS is the only known repository among OCLC members to own a copy of the publication) will be sent to OCLC's WorldCat.

The fourth phase, **Serials Control** (seven months), requires the project team to examine the holdings of serials in the library stacks and create item-records in the Horizon ILS for each of the "circulation" units. *This phase must be carried out by in-house staff because the pattern of circulation units isn't uniform.* For example, one monthly serial title may have been bound into annual volumes before it was accessioned by CHS (thus creating several circulation units for that title) while CHS may hold only a few slim issues of another monthly serial title that are filed into a single package/single circulation unit. *This phase is complete when all Horizon serials records have linked item-records appropriate for automated circulation tracking.*

During the **Completion Phase** (one month). CHS will continue to watch for anomalies in the data and correct them. The new. comprehensive library holdings available in CHS's online access catalog will be publicized *Staff will assemble focus groups to evaluate the result and make adjustments as desired to increase the user-friendly aspects of the online catalog.* (Timing and management of the five phases of the project are discussed in more detail in section 6).

2. Grant Program Goals

The retrospective conversion of the library shelf list and main-entry catalog cards to electronic records fulfills the Museums for America's goal of sustaining cultural heritage. CHS' s collection, which includes more than 22 million objects and documents. is a unique cultural resource for the Chicago metropolitan area, the Midwest region. and the nation. As such, it plays a critical role in fulfilling the institution's mission, achieving its strategic goals, and engaging and expanding its audiences. The extremely rich and diverse body of evidence about all aspects of life in 18th-. 19th-. 20th-. and 21st-century Chicago held in this collection crosses ethnic, gender, political, race, and class categories and thus underpins all research leading to exhibitions, publications, and other educational programs. These materials not only help the public understand local history and the evolution of Chicago from fur trading outpost to modem metropolis, but also help to explain through specific aspects of the city's history-its steel skeleton frame architecture; its grain, lumber and meatpacking industries; its mail order businesses; and its innovative music-the broader transformation

of America over the last three centuries from a rural community to a national urban society and culture. The collection thus offers museum visitors and researchers unique opportunities to learn local history from multiple perspectives; to understand better the interplay of international, national, regional, and local trends and events; and to appreciate America's diversity and their own identity and heritage within this broader national and regional context.

The library collection of primary and secondary research material plays an especially vital role in the efforts of Chicago's diverse citizens to have a direct and meaningful encounter with their cultural heritage. No other collection holding is as broad or as comprehensive as the library materials, which include rare and unique primary resources that are the published artifacts of life in the Chicago area, publications that are not available elsewhere in the city or the nation.

The more than 43,000 graduate students; academic historians; independent scholars; teachers; journalists; genealogists; film, television, and radio producers; high school students; and members of the general public that use the library materials (approximately 9,700 visited the Research Center in person; 7,000 were assisted by telephone, letter, or email; and over 27,000 consult the online catalog, ARCHIE) is strong evidence of the value the community gives to this cultural heritage collection. Moreover, the growth of the library over the past twenty years reflects a more inclusive historical scholarship that speaks to and the metropolitan Chicago area's increasingly diverse citizens and CHS' s broadening audience. Through a CBS neighborhood and community history initiative launched in 1993 *(Neighborhoods: Keepers of Culture, My History is Your History,* and *Global Communities)* CBS has also added important primary material to the library, including *India Tribune, Chicago Independent Bulletin* (African American), *Chicago Chinese Times, The Crown* (Los Reyes S.AC.), and *Narod Polski.*

The conversion of the library shelf list and main-entry catalog cards to electronic records is critical to sustaining the value of this significant cultural resource as useful and usable history for CBS audiences. By employing standardized library terms, descriptions, and headings comprehensively, it also provides a framework for intellectual control of CBS's entire collection. It will thus create an electronic knowledge base that will provide valuable historical context for all of the other collection items, enhancing the staff s interpretation efforts for future exhibitions, publications, and educational programs. The library materials, and this conversion project, thus underpin CRS' s efforts to sustain the cultural heritage of the city, the stare, the region, and the nation.

3. Strategiic Plan: How the project fits into Strategiic Plan and Mission

The library retrospective conversion project is critically important to CHS's mission and its strategic plan. Indeed, no project is currently more significant to enhancing and expanding the vital role that the library materials already have in CHS's core activities. This project will not only build institutional capacity to interpret, present, collect, and preserve, and make the collection accessible in more efficient and more meaningful ways, but it will also transform the shelf list and main-entry catalog cards into intellectual capital that will serve a foundation for future electronic enhancement of research tools, collection use, and management.

The Chicago Historical Society's mission is defined: 1) to expand audiences for history; 2) to be a leader in history education; and 3) to be a premier research institution. Its strategic goals (adopted in 1999) are: to support and advance the teaching and learning of history; to make the resources of the Chicago Historical Society electronically available; to establish the Chicago Historical Society's public identity as the indispensable resource for understanding the history of metropolitan Chicago; to provide exemplary service throughout the Chicago Historical society; and to extend the Chicago Historical Society's commitment to diversity in every aspect of its work.

The conversion of the library cataloging to electronic records will allow CHS's audience access to these records via the Internet By making this resource electronic and available through the Internet, it will expand audiences for history. Since the Internet expands the reach of the institution globally and thus to audiences who might not be aware of CBS and its resources, access to an online catalog of library materials will give new users an opportunity to discover their heritage and thus find themselves reflected not only in CHS' s collection but also as a part of history. This conversion project will also enhance CBS efforts to be a leader in history education. Greater access to CHS's unique cultural resources is critical for staff to create comprehensive curricula and teaching guides that fully mine the rich resources of the library holdings and are directed to more diverse groups of students. As teachers and students look more to electronic access to resources, the conversion will also enable them to have greater access for teaching, research, and study. The creation of an electronic catalog is especially critical to CBS efforts to he a premier research institution. Research by staff and by outside researchers is not as efficient using the card catalog, and other electronic library catalog tools cannot be developed until the shelf list and main-entry card catalog is converted. Equally important, CBS cannot be

competitive in fundraising efforts to build its digital research facilities until it has completed the basic conversion and creation of an online library catalog. While the conversion of the library cataloging clearly supports the strategic goal of making the resources the Chicago Historical Society electronically available, this conversion project also helps CHS fulfill the other four strategic goals. It helps to support and advance the teaching and learning of history as noted above. One of the clearest examples of this is CHS' partnership with the Chicago Metro History Education Center, which facilitates the oldest and the largest urban high school history fair in the nation. Developed with the goal of giving students learning experience with primary history sources, more than 500 history fair students annually use CHS's Research Center and the library holdings. Electronic accessibility to the card catalog will allow students to prepare better for their research visit, and it will give teachers and parents more opportunities to assist.

The electronic catalog will also give the Research Center staff greater intellectual control and physical control of the collection, while allowing the staff to provide more precise information and offer better service to researchers at CBS. This conversion project is critical for CBS staff to fully implement the circulation module for the Horizon ILS, and the creation of item records for the serials in Phase Four will provide added control and security of these important collection items. The converted shelf list will give CHS' s diverse audiences faster and more comprehensive access to historical materials related to their heritage, and, ideally, this access and discovery will motivate citizens to donate additional materials that help CBS fulfill its effort to tell the history of all of the people of Chicago. Finally, the retrospective conversion of library cataloging is a critical building block in CBS efforts to establish the Chicago Historical Society's public identity as the indispensable resource for understanding the history of metropolitan Chicago. Making this core of CBS cultural heritage resources more broadly available helps the institution fulfill its civic responsibility of serving and reaching out to the community by preserving mld making broadly accessible the memory and the history of the Chicago area. From a marketing perspective, it is also integral in the creation of a brand and identity for CBS in an urban area where museums and other cultural institution compete aggressively for public support.

The converted library card catalog is a critical investment that will create invaluable intellectual capital for CHS that other efforts can build upon. As a museum, archive, and a library, CBS faces the daunting challenge of using common cataloging terms and subject headings to describe these very different kinds of collections. In addition to the Horizon ILS, CBS currently is implementing STAR to manage and catalog three-dimensional artifacts. This conversion project will greatly enhance the effort to use common cataloging terms and subject headings and thus support building a STAR database and eventually bring the entire collection under intellectual control. It also will be the foundation for future electronic resources, such as the conversion of collection finding aids to Encoded Archival Description (EAD) that can be linked to collection records in the online catalog.

The fundamental purpose of the Chicago Historical Society, as expressed in its mission statement, is to educate and serve the larger community of metropolitan Chicago. To that end, converting the shelf list and thus improving service to users, enhancing the teaching and learning of history, broadening and diversifying audiences for history, sustaining CHS' identity as a civic institution, and enhancing access to institution resources electronically, while simultaneously creating intellectual capital and greater capacity, will clearly advance CHS' strategic plan and mission for the long-term.

4. Strategic Plan: Process and Financial Resources

The Chicago Historical Society is the city's oldest cultural institution, and it holds a strong tradition of excellence and innovation. CHS began an inclusive process of strategic planning involving staff, the Board of Trustees, and community members in 1994 that produced a five-year plan, the following year. The current five-year plan, adopted by the Board of Trustees on January 20, 1999, contains three principal elements: a mission statement, five core strategic goals, and key strategies for meeting each. (Please see Summary of Strategic Plan.)

Since January 2001, President Lonnie G. Bunch, with guidance from the Board of Trustees, has directed and maintained CBS's strategic plan as the institution moves into the 21st century. With the leadership of its Board of Trustees, staff, and a range of community stakeholders, CBS is currently framing a new vision that will serve as the foundation for the next five-year strategic plan for the period 2006-10. To ensure that CBS creates a useful and useable history and provides programs, knowledge, and services that are of value to a 21st century urban community, President Bunch is actively repositioning the institution as an important educational resource for the city; renovating its main facility to make it more welcoming and efficient; embarking on a rigorous, changing exhibition program in tandem with a major reinstallation of permanent exhibitions; and focusing on new technology and long-term Web strategies to fulfill

CBS's core activities-collect and preserve, interpret and present-that underpin its mission and strategic goals.

Through its strategic focus and direction, CHS has built an increased public awareness of history as a powerful tool for creating and enhancing the surrounding communities. Over the years, CHS has developed a strong donor base that will facilitate solicitation of corporate, foundation, and individual donors to ensure the 10ng-terltll.1I stability of the institution. Fundraising is ongoing, and the cultivation of additional donors will insure the success or future projects and programs.

5. Appropriateness for Institution, Audience

CHS is one of the nation's foremost urban history museums and research centers and has earned a solid reputation for its collection and scholarship. Over the past decade, CHS has increased its services to the public through a broad array of exhibitions and on-site and outreach programs, centralized and highly accessible research facilities, print and electronic publishing and on-line resources, and an active program of contemporary history based on oral history that involves communities of experts, ordinary citizens, and scholars.

Through ongoing audience research, including quantity demographic studies, visitor satisfaction surveys, front-end and summative evaluations of exhibitions, and surveys of program participants, CHS has developed a sound understanding of its current and potential audience segments and tracks its success in building new audiences for history. Adults - including metropolitan Chicago residents and out-of-town tourists - and school groups are currently the strongest segments. School audiences span primary and secondary grades, with an emphasis on 3cd through 5th grade for field trip visits, and 9th-12th grade for research in the Research Center. CBS is also targeting segments often neglected by cultural community institutions, including urban neighborhood residents, families, teens, and seniors.

Chicago sits at the center of a metropolitan area that encompasses six counties - Cook, Du Page, Kane, Lake, McHenry and Will - with a population of 8.1 million according to the 2000 US census. Chicagoans in 2000 numbered 2.9 million, including 1 million African American, 900,000 Caucasians, and 750,000 Hispanics. Families (adults with children) totaled almost 1.5 million, teenagers 400,000, and seniors 515,000. The development of new exhibitions, online resources, school and public programs, and the acquisition of new collection materials are planned and executed with CHS' s traditional and new audiences in mind.

In FY2003, CBS attendance was 185,000, including 16,700 visitors to the Research Center. CBS's award-winning website is visited by more than 150,000 annually, 3rd approximately 27,000 - 18 percent of CBS web users - use ARCIDE to search CBS Research Center holdings, although the electronic records represent only 17 percent of the library collection.

The opening of the Gilpin Library as part of its 1896 building (CHS moved to its current location in 1932) began the traditions, still practiced today, of making the collection available to the public free of charge and employing a liberal admission policy. Unlike many private research libraries that restrict access to its facilities to a handful of scholars, CBS opens its Research Center to a broad range of professionals, students, and average citizens, including seniors and teens and urban neighborhood residents who represent the city's diverse population. CBS works collaboratively with other local research institutions to avoid duplication of resources and to serve researchers better. Genealogists, for instance, will find census records, ships manifests, and other immigration data at the Newberry Library or the National Archives and Records Administration's Great Lakes Regional branch, but CHS' s library can provide more information on Chicago neighborhoods, workplaces, and homes that help to flesh out a family history. Likewise, CHS works closely with the Chicago Public Library to coordinate resources for History Fair students.

A recently conducted survey of Research Center users and an analysis of written and email requests indicate quite dramatically that current researchers deem a comprehensive online library catalogue as extremely desirable and useful to them as a research tool. Of250 respondents, 77.6 percent felt an online catalog would benefit their research; *of* 278 respondents, *50* percent have already consulted CHS' s Web site before contacting or visiting the Research Center. In addition, a strong majority of respondents desire to see additional online resources, which could build on the conventional shelf list and main-entry catalog cards. An analysis of 1,401 reference letters and email requests revealed that an estimated 75 percent of these remote users could have consulted an online catalog to determine if CBS library collections would serve their needs.

The conversion of the library card catalog will allow CHS to extend its free and liberal access to greater numbers of existing and targeted audiences and to attract new audiences. It will also fulfill the current audiences' needs for efficient and comprehensive research tools and create the foundation for meeting their desire for additional online resources.

6. Project Resources: Time and Budget

After conducting extensive research on retrospective conversion vendors, CHS sent a request for proposal (RFP) to three vendors in 2000. One vendor declined the project, and two vendors--OCLC and Backstage Library Works--offered to collaborate on the project. CHS and the vendor then prepared a draft contract (please see Attachment #2) which includes CHS's specifications document covering the details for converting material types, data types, and field contents. Although OCLC prices have risen slightly since the draft was prepared, CHS expects to make few changes in the contract or the budget before signing the final contract with the vendor (before the grant period begins). The grant project budget will be distributed over 24 months, divided into 5 phases based on achieving project objectives (please see the Schedule of Completion).

Initiation Phase: October 2004-December 2005: The budget for this phase includes salaries for the project team composed of the full-time Project Director, two part-time Cataloging Assistants, and CHS regular staff assisting with the project (described in more detail in Section 7 below).

The CHS project team will work with the vendor to create a profile for handling different types of cards, problems, and corrections. Additionally, the team will review a sample set of 100 card conversions by the vendor. One part-time Cataloging Assistant will be recruited (three months allotted for recruitment period). The Project Director and Cataloging Assistant will scan the shelf list cards and SC3Jl main-entry cards from the card catalog drawers using scanning equipment supplied by the vendor, and re-file the cards so the card catalog is usable for staff and researchers. *The Initiation Phase will be complete when the vendor has been sent scans of all relevant cards and can proceed with the conversion.*

Vendor Conversion Phase: January 2005-0ctober 2005: The budget includes vendor charges (billed in monthly increments accompanied by statistical reports on the records converted) and project team salaries. The vendor has estimated that the conversion of 63,734 shelf list records and adding data from ca. 42,525 main-entry cards will take 9 months plus an additional month required for authority processing of headings by OCLC's MARS service. In May 2005, the vendor will return the first batch of 10,000 records. The Project Manager and the Cataloging Assistants (two project staff) will closely examine this first batch to uncover any recurring problems or misinterpretations of data. Throughout the vendor conversion phase minor issues will be communicated immediately by the vendor for resolution by the project staff. Also, problem cards, e.g., cards with illegible data or an uncertain match to an OCLC record, will be returned to CHS for decision. Because the shelf list and the card catalog began in 1905, they contain many styles of cataloging. CHS anticipates that a high rate of cards will be returned for clarification (perhaps up to 5 percent or about 3,000 cards). During this phase, staff will rely heavily on the advice of the Technical Services Librarian. The project team will conduct an interim assessment of the project and produce an interim progress report. *This phase is complete when the vendor returns all the converted data and matched Library of Congress authority records to CHS*

Quality Control Phase: November 2006-January 2006: The budget covers salaries for the project team working on tasks primarily relating to quality control. The Project Manager and the Cataloging Assistants (two project staff) will examine closely the entire batch of 63,734 converted records for anomalies in spacing, MARC syntax, AACR2R form, and index headings, such as subject headings and added entries. The team intends to divide the vendor's data file of 63,734 records into thirteen groups of approximately 5,000 records each. Each group will be loaded to a utility software, called Minaret (described at www.minaretsoftware.com), which will allow staff to create field/sub field specific reports that can be examined by staff as the data scrolls past on a monitor.

Corrections to the file will be made in-house or returned to Backstage Library Works as appropriate. Although the vendor offers a lifetime guarantee on fulfillment of the contract specifications, the project team anticipates finalizing the records during the project. CHS also will review the authority-controlled fields in the converted records that failed to match Library of Congress authority records during automated matching performed by OCLC's MARS service. Project team members will identify further matches that can be achieved by supplying birth or death dates or other pieces of information. *This phase is complete when the Chief Cataloger has loaded the authority records and the bibliographic records into Horizon and sent original catalog records to DCLC's WorldCat.*

Serials Control Phase: February 2006-August 2006: The budget is composed of project team salaries, including a temporary Project Cataloger. Cataloging of serials is challenging because it is necessary to enhance the basic catalog record for a serial title made by the conversion vendor with 1) a note that tells CHS's exact holdings of that title, which may be incomplete rather than a full run of every issue published, and with 2) an attached item record for each circulation-unit by that title. Horizon ILS's Circulation Module uses the item-records to keep track of individual volumes or separate issues of serials within the Research Center or at other locations, such as on exhibition or in the paper conservation lab.

In order to know how many item-records to make and which volume/issue numbers and dates they cover, it is necessary to examine the originals in the library stacks at CHS. Sometimes a complete run of a serial title has been bound into 1 volume (requiring only 1 item-record for 1 circulation-unit); and in other cases, no binding has been done, and each issue of a serial is a separate circulation-unit needing a separate item-record.

About 15 percent of the shelf list records (approximately 9,300) represent serial titles, in addition to 1,000 unclassified periodicals. Each of these 10,300 serial titles are represented in the library by 1 or more issues, usually by many separate issues. (The 10,300 include about 4,000 records already in Horizon that lack detailed holdings information for each title). *This phase is complete when all serials records have linked item-records appropriate for automated circulation tracking.*

Completion Phase: September 2006 with a budget composed of evaluation activities and project team salaries relating to training, evaluation, and publicity. CHS will test the new catalog (for a total of six months ending in the Completion Phase) and handle any final problem records discovered.

Also, in the final month, the results of the project will be publicized, and project staff will conduct training (and collect feedback) for various groups, such as CHS staff; teachers; schools; Chicago Metro History Education Center staff and teachers; History Fair students; and other researchers. Some potential users of the Research Center will be organized into focus groups in order to assemble data on the effectiveness of the online public access catalog (PAC). A professional consultation/evaluation group will evaluate the project, using end-user feedback gained at focus groups as well as outcome-based evaluation methods. In response, design improvements for the PAC will be carried out to make it as user-mendly as possible.

The project is completed whet' the final report, including results of the focus group sessions, has been prepared.

7. Project Resources: Personnel and Technology

An extremely well-qualified staff has been assembled to carry out this project (Please see the Resumes and Job Descriptions attached). Project Director, Diane Ryan, CHS's Digital Projects Manager formerly served as Curator of Prints and Photographs and supervised several large-scale processing and computer cataloging projects. Her current job position was created to accomplish this project as well as other, long-term planning for electronic conversions and digital resources. During the grant period, she will work full-time on this project. Other project staff will be 2 part-time Cataloging Assistants (composed of Sharon Lancaster part-time and 1 person to be hired) plus a temporary Project Cataloger to help with the serials work. Sharon Lancaster has worked part-time successfully on previous CHS projects using MARC format and AACR2R standards and will do the same on this project.

Three regular staff members will contribute time to this project: Patrick Ashley, Technical Services Librarian, will assist the project staff (15 percent of his time) by troubleshooting anomalies and doubtful matches to OCLC records and by creating serials holdings item-records.

Linda Evans, Chief Cataloger and Database Administrator for the Horizon ILS software, will train project staff in methods and guidelines related to the software; she will perform data conversions for testing and perform data loads of authority records and catalog records to Horizon ILS. Fostering electronic cataloging for the research center holding is central to her regular job position, and thus the 15 percent of her time devoted to the project will not detract from other regular duties.

The project is of central importance also for Russell Lewis, Andrew W. Mellon Director for Collections and Research, who is the direct supervisor of the Cataloging Work Group and thus will serve as Project Administrator to assure that the project stays on time and receives the resources it needs.

Technology for the project includes purchase of a workstation with printer for the Project Director and the use of existing software at CHS that is already installed and functioning well, primarily Horizon ILS from Dynix Corp. (described at www.dynix.com). Horizon ILS drives three online access catalogs for the Research Center that are collectively known as ARCHIE: 1) StaffPAC (linked to staff functions), 2) Windows PublicPAC in the Research Center, and 3)WebPAC. CHS plans to upgrade Horizon ILS soon (probably before the grant project begins) and install Horizon Information Portal (known as HIP or iPAC) as a more powerful and more user-friendly replacement for WebPAC.

This project does not include digitization of museum collection objects and instead is creating electronic catalog records *describing* CHS's library holdings of monographs and serials.

<u>**Budget Justification**</u>

<u>Retrospective Conversion of the Card Catalog for Library Materials at CHS</u>

The **"Salaries and Wages"** section is divided into three groups, reflecting project staff that are 1) full-time, 2) part-time, and 3) temporary full-time.

An extremely well qualified staff has been assembled to carry out this project. Diane Ryan, Digital Projects Manager, will serve as Project Director. She formerly served as CHS's Curator of Prints & Photographs and supervised several large-scale processing and computer cataloging projects (using MARC format and AACR2R standards), most notably for the Hedrich-Blessing photograph collection. Her current job position was created to accomplish this project among other, long-term responsibilities for electronic conversion and management of finding aids and digital resources. Therefore, during the grant period, she will work full-time on this project.

Other project staff will be two part-time and one temporary Cataloging Assistants: Sharon Lancaster (part-time) and two staff to be hired (please see Job Descriptions and Resumes). Sharon Lancaster has worked successfully on previous CHS projects, notably cataloging Studs Terkel (WFMT Radio) program sound recordings using MARC format and AACR2R standards. She is a part-time employee, who worked three days a week on previous projects and will do the same on this project.

CHS's experienced Technical Services Librarian, Patrick Ashley, will assist the project staff (15 percent of time) by helping troubleshoot anomalies and doubtful matches to OCLC records, and by creating serials holdings item-records. It is likely that a backlog of newly acquired, uncataloged items will grow while a large portion of Ashley's time is devoted to the retrospective conversion project, but CHS believes that completing the retrospective conversion project should take priority and will make all future library cataloging tasks easier and more efficient.

Linda Evans, Chief Cataloger and Database Administrator for the Horizon software, will train project staff in methods and guidelines related to the computer conversion and in the use of the software (described below); she will perform many of the data conversions from one file to another for testing, and perform data loads of authority records and catalog records to Horizon. Fostering electronic cataloging for the library collection is central to her regular job position, and thus the 15 percent of her time devoted to the project will not detract from other regular duties.

Russell Lewis, Andrew W. Mellon Director for Collections and Research, who is the direct supervisor of the Cataloging Work Group and thus will serve as Project Administrator to assure that the project stays on time and receives the resources it needs.

The salaries of each project staff member has been determined according to estimated time spent on the project. For example, it is estimated that Project Administrator, Russell Lewis will spend, on average, five percent (5%) of his time working with the retrospective conversion team for the duration of this project (24 months). On the summary budget page this is represented as follows:

Project Administrator Lewis: 5% @ 24 months

The same method is applied for the Year 1 and Year 2 budgets. This method is applied for each full-time, part-time, and temporary full-time project staff person. The "Fringe Benefits" rate for full-time staff is 42 percent (42%), for part-time staff it is 25 percent (25%), and for temporary full-time staff it is 7.65 percent (7.65%). Please see the "Substantiation for Fringe Benefit Rates" chart below:

	Life Insurance LTD	Health	Dental	Workers Comp	Vacation	PD Holidays	Sick	Pension	Total
Full-Time Regular and Special	7.65%	0.40%	9.30%	0.89%	8.20%	3.50%	4.60%	7.00%	42.04%
Part-Time Regular and Special	7.65%			0.89%	8.20%	3.50%	4.60%		25.84%
Temp. Full-Time Regular	7.65%								7.65%

The cost of a summative evaluation and focus group study has been calculated in the "Consultants" section on this budget. Project staff anticipates that a professional consultation/evaluation group will evaluate the project, using end-user feedback gained at focus groups as well as outcome-based evaluation methods. The costs for this evaluation are estimated at $8,000.

Under the **"Travel"** section, round-trip airfare and seven days of subsistence costs for one person were calculated for this figure. Airfare from Utah to Chicago for one person is estimated at $500, while the standard per diem of $130 was applied to cover living expenses.

Under **"Equipment"** costs, an upgraded work station, including a high-power hard drive for data management and a faster printer, account for approximately $1,500 of these costs. Additionally, an added workstation for the cataloging assistants and project cataloger has been included at $1,500.

Under **"Services"** costs, the vendor fee of $201,224 will be paid out, as stipulated in the vendor contract (see attachment #2), over 24 months. The retrospective conversion output costs have been determined by estimating the number of CHS catalog records that will be matched through DCLC. The cost to output each match is $.54. The number of matches is estimated at 60 percent (60%) of the total catalog or 38,240. This figure multiplied by $.54 is $20,650. The corrections line reflects the estimated cost of marginal correction to the vendor-produced electronic records. The rate of error should be small and is estimated at five percent (5%). Five percent of the card catalog is 3,187, multiplied by $.85 is $2,708. Finally, under services, the cost of uploading original (non-match) records into OCLC is $,189 per record. CHS project staff have estimated that 25,000 original records will be created during the retrospective conversion. 25,000 multiplied by $.189 equals $4,725 plus the DCLC upload or charge of$315 equals $5,040.

And finally, the **"Indirect Costs"** are estimated at ten percent (10%) of the project costs, or $57,049.